

# STATE OF SOUTH CAROLINA

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Department of Probation, Parole and Pardon



## CPM 2015 PROJECT IT Asset and User Lifecycle Management Process Improvement

Quincy Williams  
Strategic Development and Information Technology

February 2015

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# STATE OF SOUTH CAROLINA

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# **IT ASSET AND USER LIFECYCLE MANAGEMENT**

## **PROCESS IMPROVEMENT**

This project will examine processes and tasks that are related to information technology assets and user accounts that can add operational efficiencies to the South Carolina Department of Probation, Parole and Pardon Services (SCDPPPS). While this project is solely focused on adding efficiencies when managing information technology assets and user accounts, it will also benefit information security functions. As a state agency, SCDPPPS is not only tasked with providing public service. The agency is charged with the mission of providing secured business processes that are smarter, simpler, cost effective, and more unified. As a result of this process improvement project, multiple areas of the agency will benefit.

Our current asset and user lifecycle management process impacts timeliness, productivity, teamwork, asset accuracy, and cost and data risk. The goal of this project is to have the agency improve the workflow of tasks that affects asset and user lifecycle management processes. The tasks related to this process are critical to how multiple departments function. Upon further analysis and modifications, the asset and user lifecycle management process will be more effective and efficient.

The Department of the South Carolina Probation, Parole and Pardon Services is one of the largest law enforcement agencies in the state. The Division of Strategic Development and Information Technology (SD&IT) manages the agency's software and hardware assets and user account activities. Nearly all agency information technology assets are attached to users, which should trigger IT tasks when asset allocations, user



accounts, and personnel transactions occur. Unfortunately, many assets and personnel transactions occur without the IT division receiving proper and/or instant notifications. In some cases, the asset and personnel transactions are not reported until weeks later. As a result, user accounts are not managed or equipment processed in a timely manner. This project assesses how SCDPPPS can better manage assets and user accounts while ensuring that the agency can declare productive operations and maintain security.

## THE PROBLEM

While the agency has a uniform process to report personnel actions, the process is not always consistently enforced, which causes some personnel transactions to have an age a few days to slightly longer than a month from when the personnel action initially occurred to when it is reported to the IT Staff. Information Technology staff performs account actions, such as ensuring employee accounts are moved, disabled, modified, or created when a help desk ticket or Personnel Action Transmittal Log is received to trigger the process. Transmittal Logs (**See glossary - Appendix A**) are spreadsheets sent by the Human Resources Division to summarize all personnel actions. Each transmittal log covers the two week timeframe between the start and end dates corresponding with the state's pay period. For consistency, all 27 transmittal logs referenced in this report, was from the data gathered during the previous 27 pay periods. Each pay period illustrates a two week timeframe, that starts on the 2<sup>nd</sup> and 17<sup>th</sup> of each month. Information Technology staff determines the type of action needed for user accounts based on the

type of personnel action (**See Appendix B**), such as separation, reassignment, promotion, or hiring.

In addition, the Information Technology staff also has to determine the process for asset management when personnel actions occur. The asset management process can be hindered and very confusing to staff when trying to request the need for equipment, receiving new equipment, transferring equipment, or returning equipment. The old Asset Tracking Form did not indicate every type of asset that could possibly be assigned to an employee during the separation, reassignment, promotion, or hiring process.

## **THE CURRENT ASSET AND USER LIFECYCLE MANAGEMENT PROCESSES**

These processes are caused by various types of personnel actions, which are the trigger points for the IT Division (who are responders to the approved action) to perform asset or user management tasks. These processes involve the Human Resources Division (who are the executors of the approved action) and the Acting Division (who are the initiators of the approved action) of the employee in whom the personnel action is started. While a decentralized approach for reporting personnel actions to the IT Division were in place in times past, the agency decided to use a centralized approach by placing all notifications within the Human Resources division.

## The Current Separation Process

Many events can be the cause of the separation process (**See Appendix E**). While the events of the separation does not impact operations of IT Staff, the timing of reporting some separations are critical. While, the ideal approach is to have centralized and formally defined sub-processes to report separations, some events necessitate the need for multiplicity. Most events, such as prepared job resignations, retirement events, or suspensions may allow for Human Resources to inform IT Staff of the need to execute actions on user accounts before or after the separation process. In some cases, outcomes such as terminations or instant resignations, may require instant notifications to the IT division.

In other cases, there are frequent occurrences where IT Staff are informed of separations upon receiving the personnel account notifications. The previous 27 personnel transmittal logs (**See Appendix B-D**) indicated separation transactions occurred within the range of 3 to 43 days before notifications were sent to IT Staff. These 27 personnel transmittal logs were spreadsheets received from the Human Resources Division that corresponded with the previous 27 pay periods for state employees. As a matter of information, each pay period represents a two-week window of time that starts on the 2<sup>nd</sup> and 17<sup>th</sup> of each month. There were seldom same day notifications to the IT Division during the previous year when separations occurred.

The target of having same day separation notification, occurred a few times when Human Resources sent an email to the Helpdesk and when some divisional managers called the IT Division directly and spoke with a manager. The management of user accounts that separate from the agency are delayed and not executed in the most



competent or secured manner when same day notifications are not carried out. This could result in former staff having access to system resources after the separation process. In addition, assets assign to an employee are not properly validated with the appropriate methods during the separation process.

### **The Current Reassignment Process**

The personnel reassignment process from the previous 27 personnel transmittal logs indicated reassignment transactions occurred within the range of 14 to 38 days before notifications were sent to IT Staff. The entire process (**See Appendix F**) is started with the acting division submitting a letter to the Human Resources division indicating the intent for the reassignment to a new location with an announced vacancy.

The Human Resources processes the letter and assists the acting division with the request. Afterwards, the reassignment request is submitted to the Agency Director for approval. Upon receiving the sign-off from the Agency Director, the Human Resources division notifies the acting division of the approval with an effective start date. A personnel transmittal log is sent to IT Staff to provide notifications of effective start dates for any reassignments that occurred during the previous pay period.

Upon receiving the personnel transmittal log, IT Staff review the information and perform all tasks necessary to ensure the reassign employee has the appropriate account settings of computer rights, email groups, printer connections, security profiles, and associated assets. Some findings revealed that on occasions, staff actually arrived at their reassignment location prior to their official effective start date and prior to IT Staff

receiving notification. As a result, the employees were unable to access system resources upon arrival, and could not start daily work.

The gap in following a consistent process for making suitable notifications causes employee downtime, equipment shortages, and breakdowns in communication. At times, staff outside of management, including the reassign employee will contact the Helpdesk to get resolutions with system login problems or asset needs that surfaced after the reassignment. To resolve the support issues, IT Staff start by gathering the data required to complete account moves on the computer systems with the appropriate rights and update asset information for computer equipment utilized by the reassign employees.

### **The Current Promotion Process**

The personnel transactions involving an employee promotion (**See Appendix G**) arrive by way of a personnel transmittal log that is submitted by email to IT Staff twice a month as a method of notification. All promotions take effect at an official effective date, which is the subsequent payroll beginning date after final approval and all ancillary functions are processed. For consistency of data, the previous 27 transmittal logs were evaluated to identify actions listed as promotions. The promotion transactions occurred within the range of 16 to 39 days before notifications were sent to IT Staff.

There are various events that could start the promotion process leading to the Human Resources Division receiving the request for promotion by the acting division. The chain of events leading to a promotion was not a part of the evaluation. Nevertheless, a general view of the events is important to ensure the IT Division properly manages the

series of events after the decision is completed. IT Staff currently have to rely on the acting division to make necessary account changes to include additional computer right privileges, group access, and the assignment of distinctive IT equipment that may correspond to the new promotion.

### **The Current Hire Process**

The **Current Hire** notifications has undergone recent changes that have greatly enhanced the notification process for IT Staff over the past one and one-half years. The hire process (**see Appendix H**) is started with the acting division submitting a hire packet to the Human Resources Division indicating the intent to hire for an announced vacancy.

The Human Resources Division validates the materials within the hire packet before delivering it to the Agency Director for approval. Upon receiving approval from the Agency Director, the appropriate notifications are made to the acting division, who then makes notification with the applicant, who should send an acceptance letter to the Human Resources division as a notification of agreement to accept employment. As part of the communication plan for New Hires, IT Staff were added one and one-half years ago to an email thread indicating the start date of all new employees with their respective position.

This notification to IT Staff typically arrives between 3-13 days before the hired employee is scheduled to arrive. IT Staff uses the New Hires list to allocate and assign IT equipment as tracking assets to the new employees. In addition, IT Staff also uses this notification to create the user accounts for all new employees to provide computer



access, email access, creating business system accounts, and other private privilege access controls.

While the most recent modifications provide a more suitable process and ensures that every new employee has assign assets and user accounts before their arrival, there are still opportunities to enhance operations. The current New Hires list is withheld until acceptance notifications are received for all vacancies relevant to the next beginning date. During numerous occasions over the course of the year, advanced notifications may be submitted to IT staff, but with only one or two business days for preparations. During the process improvement assessment, discoveries were made that revealed the notifications may arrive on a Thursday or Friday, with the new hires arriving on Monday. Likewise, some state holidays may cause a four day notification for preparation to be reduce to several business hours. While these reductions in lead time of business hours don't cause major alterations with a few new hires, things can get tumultuous when there are a new hire class with several employees.

### **The Current User Asset Process**

Although the process of managing user assets are initiated whenever personnel transactions occur, there are also times when assets may be requested without personnel transactions. Either way, the process for tracking IT equipment within the department must be well-defined and consistent to assist staff. The current IT administrative processes do not indicate all assets that could be tracked using Form 1177 (**See Appendix I**). In addition, references are not available to give advice of the standard

operating procedures or instruction guidelines on how to conduct the tracking processes of IT equipment.

For example, during the personnel reassignment process, many employees leave required equipment at their prior office or take equipment that should have remain in place. As previously mentioned, some staff may be reassigned to a new location and take their equipment without prior notifications being sent to IT staff. Due to new state information security requirements, of being able to locate all assets by location, user, and make/model with a data classification, it is very important that asset procedures are followed.

## **PROCESS IMPROVEMENT PLAN OVERVIEW**

The process improvement plan began by evaluating gaps and waste in each of the information technology asset and user lifecycle management processes. I plan to take a hybrid approach to improve these processes. On one level, I plan to automate the workflow tasks of the user lifecycle management processes using a specialized software application. The other approach, is to manage the assets by implementing new IT equipment tracking forms, asset management policies, asset management standard operating procedures, and improving the communication plans between the IT Division, the HR Division, and the Acting Division that can initiate an asset or personnel action.

There are numerous reasons why improving this process is important. This issue is critical to our agency because it has a direct impact on the tasks and sequences relating to information security liabilities, employee efficiency, asset accountability, and project timelines. If this issue is not properly addressed within a timely manner, then assets could

be lost, confidential data could be comprised, and personnel could lose valuable operational time when trying to conduct agency business.

Every member of the IT staff needs to understand how to distribute and manage assets properly in order to ensure optimal information security, asset accountability, and personnel efficiency. Multiple challenges exist currently for IT staff when managing user account movements, new user accounts, asset allocations, and timely asset sanitation.

### **The Personnel Transaction Process**

The employee transaction processes (**See Appendices E-H**) can be improved by enhancing the communication plan between the acting division executing the transaction and the Human Resources Division. This request will require low level effort, as it is already in place for the current employee transaction processes.

I plan to garner support from the Executive Management Team to emphasize the need for consistency (**See Appendices J-K**), because of the risk associated with former employees potentially accessing system resources after their separation. In addition, some employees may not have appropriate system access after a promotion, or unnecessary access after a reassignment. The improved centralized communication plan will add the IT Division to the workflow events upon the Executive Management Team approving the request.

As a result, IT Staff will be able to immediately disable all accounts of employees that separated from the agency and modify user accounts after reassignments or promotions.



At a higher level of enhancement, I plan to implement a user management software tool, called Quest (Dell) ActiveRoles Server to faster process personnel transactions by using prebuilt rules to automate the workflows. The automation of these workflows will empower the acting division and the Human Resources Division to generate all user transactions after a personnel action is approved. Since a cost is associated with this approach, all process improvements will be implemented initially utilizing existing resources by implementing new communication methods and modifying current workflows.

Similar to the other notifications, a simple tweak of the communication channel will enhance the personnel hiring transaction process. Currently, the Human Resources Division, wait to send a bulk list of hires to IT Staff, instead of submissions as they occur individually. By having each new hire submitted to IT Staff upon receipt, all user accounts and assets can setup and configured as soon as possible. As a result, IT Staff will avoid the loss of lead time that occurs when hiring notifications are submitted the week of state holidays or at the end of the work week.

### **The New User Asset Process**

A new Asset Tracking Form (**See Appendix J**) was created to make several significant changes to the Asset Tracking Form that was previously in use when assigning information technology equipment during the personnel action process or when tracking IT equipment when transferring, retrieving, or delivering assets. The new Form 1177

includes a list of assets for the acting division to utilize when indicating the type of equipment that are being processed.

A new instructional guideline will be created and circulated across the agency to depict the actions each employee must follow when completing and submitting the form to the IT Division. By ensuring all staff are using a standardized method to track IT equipment with and without personnel transactions, the location and accuracy of inventory should improve.

## **CHALLENGES**

During the evaluation process of personnel transactions, there were many business processes that were not centralized and standardized. As a result, there were poor communications, inconsistencies in following business processes, and a lack of accountability in understanding the importance of the risk posed to the agency, and an absence in the governance processes to develop teamwork.

Therefore, the need to integrate strong communication channels and the foundation of organization governance to overcome resistance to accountability and centralizing business practices will be met with caution. The need to implement the automation of workflows tasks will have time constraints while integrating knowledge management processes, statewide security initiatives, and current agency project requests.

## **EVALUATIONS**

Best Practices has shown that the most secured way to protect data is to utilize asset management principles to know the location of all assets, the assignees of the assets, and what data resides or is accessible by the asset. The investigation and ensuing analysis will help close gaps in communication and management of assets and user accounts.

Follow-up evaluations is key to determining the consistency of success in implementing new processes to manage IT assets and user lifecycle management events. Constant communication and commitment will be critical to ensure these processes have long-term success. Some of the changes will be immediately noticeable such as employee separation and reassignment processes. Other actions, such as the automation of workflow tasks using commercially off the shelf software with customized pre-built tasks, will take time to implement and monitor the results.

Measurements will be gathered from the Help Desk system to investigate and ensure activities are continuous in improving asset and IT management of personnel by reducing asset inaccuracies, personnel downtime, account management delays, and potential asset security occurrences.

## **CONCLUSION**

Information security is a trending topic within the technology environment that many in South Carolina state government are well aware of. Current administrative guidelines for department staff to follow when conducting personnel actions or asset



transactions, are important not just for efficiencies, but also for ensuring a secured work environment when providing public service.

If we cannot establish standardized work practices and consistent communications across divisions within the agency, our customer's desired expectations will not be regularly achieved when delivering services relating to assets or personnel transactions. As a result, IT staff will lack knowledge of personnel reassignments, personnel separations, equipment needs or transfers, or the correct location of IT assets.

This is a project that triggers significant changes, albeit with tweaking habits and the willingness to communicate by just a few employees in the processes, while ensuring the agency's asset and user account management get important attention.

## **SURVEY DATA GATHERING METHODS**

**Considerations:** Interviews, Observation methods, Surveys, document reviews

**Data Collection Approach:** Surveys, observations, and personal interviews to gather input

- Personal Interviews Outcome: The personal interviews was a good experience. The outcome revealed excellent insight into how each division views their own responsibilities. Unfortunately, some insights also revealed levels of redirecting accountability. Inconsistencies of feedback of the process due to differing of roles and responsibilities,

- Observations Outcome: The observation methods offered the opportunity to gather data that was valid and actions that was reliable. It was easier to decide how to and which data to deduce.
- Survey Outcome: The survey was distributed to 70 managers within the Department by our Research and Evaluation Division. The survey was conducted using survey Monkey over a three week timeframe. A reminder email was sent to those yet to complete the survey 10 days prior to the survey closing. The survey population was comprised of Divisional Managers (20), Regional Directors (4), and Agents in Charge (46). The survey population are staff that are authorized to initiate personnel actions or asset management transactions. Everyone responding the survey had experience with asset or user transactions. Of the 70 people the survey was sent to, 55 responded (79% response rate).

### **Survey Concerns:**

#### **The feedback**

I am concern about not receiving demonstrative feedback personally from all of the populations. Over the past few months, multiple surveys was conducted for other agency issues, which may cast a lassitude on the outlooks among the survey population. In addition, the results may be influenced if the population consults prior to sharing experiences on this survey.

## **The process**

This survey process was multifaceted, as the Department protocol to get approval for the survey requires the following: a form routed with the proposed questions; survey questions undergo two levels of vetting; the approval process through the chain of command across the three levels of the executive divisions; resubmit the form to the Research and Evaluation Division for survey creation and link; Distribution of the survey; Survey Request break; Survey data analysis; Separate approval to have results published in reports or presentations after the survey results and process is completed. The survey raw data had 7 data fields missing data.

**Information needed:** asset types, users, forms, workflows

- Sources: Email, agency Forms, Helpdesk system, Departmental Staff (e.g. Human Resources, Divisional Managers, Section Supervisors, Agents in Charge, and Regional Directors)

**Information presented:** feedback, tasks, statistics, data, correspondence,

### **Survey Statistics: See Appendix M-O for Survey Results**

The survey data sets was entered into an Excel spreadsheet and formatted with tables. The results was distributed across three tabs. Each tab yielded different data sets:

- TAB 1: Has results for the total survey sample.
  - The first table is by raw numbers



- The second table is by percentages.
- Tab 2: Has the results by work location.
  - The first two tables are Central Office participants and the bottom two tables are county office participants. I utilized a variable that identified participants' work location (i.e., Central versus county office) in case there was a difference. Central Office staff is in the Agency Headquarters with the information technology staff. County office staff is separate from Information Technology Staff.
  - The Central Office participants reflected slightly higher mean numbers and Strongly Agree percentages. I contribute this to easier access to Information Technology staff by being housed in the same building,
- TAB 3: Has the raw data from all 55 participants that completed the survey.

**Project Data Sources:** surveys, workflow diagrams, spreadsheets, charts, forms, memo

## SURVEY DATA GATHERING: IT ASSET AND USER LIFECYCLE MANAGEMENT

This survey is being conducted to identify the level of understanding by Agents in Charge and Divisional Managers relating to how to acquire and manage assets and user accounts when interacting with the Strategic Development and Information Technology Division. The evaluation of these processes are important to ensure optimal information security, asset accountability, and personnel efficiency.

FOCUS AREA	STRONGLY DISAGREE	DISAGREE	SLIGHTLY AGREE	AGREE	STRONGLY AGREE
The process to request IT equipment or software for my office is easy to understand.					
IT equipment or software requests for my office are provided in a timely manner.					
The IT process to transfer employee accounts to or from my office is easy to understand.					
The user accounts needed for my office are provided in a timely manner by IT.					
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.					
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand.					

## APPENDIX A: GLOSSARY OF TERMS

### **AIC (Agent in Charge)**

Managers that supervise a Probation and Parole office within a county. Each county has an AIC.

### **Asset**

Any software or hardware purchased with Government Funds, and distributed to an employee.

### **Asset management**

The process of assigning, transferring, and tracking all assets within the Department.

### **Asset Tracking**

Maintaining the location of all assets and keeping it assign to an employee of the Department.

### **Divisional Managers**

Managers that supervise a section or divisional office, typically at the Department headquarters.

### **Hire**

An applicant that accepts an offer of employment letter and becomes a new employee of the Department.

### **IT Staff**

Technology staff that is a member of the Department's technology division.

### **Personnel actions**

Actions performed by Human Resources such as Hire, Promotion, Reassignment, or Separation.

### **Promotion**

The process when of raising an employee to a higher position or rank within the Department.

### **Reassignment**

The process of assigning someone to a new position, duty, or location.

### **Regional Directors**

Managers that supervise Agents in Charge of counties within a designated region of the State.

### **Separation**

The process when an employee leaves the Department for any number of reasons.

### **Transactions**

Any sequence of events that trigger a series of actions to be performed by respective Divisions.

### **Transmittal log**

A spreadsheet created by Human Resources and distributed to Information Technology to show every transaction requested that leads to personnel actions.

### **User management**

The process of creating, moving, or disabling user accounts. Additionally, user accounts may receive or lose network and data access privileges during the use management process.



Personnel Action Transmittal Log for 11/17/2014 - 12/01/2014								
Name	PER #	Action	Date	Title	From	To	PA#	New Supv
Sample Employee	10001000	New Hire	11/17/2014	Program Assistant		Central/FIOS	14-040	
Sample Employee	10001001	New Hire	11/17/2014	Programmer Ananlyst II		Central/SD&IT	14-021	
Sample Employee	10001002	New Hire	11/17/2014	HSS I		Spartanburg	14-039	
Sample Employee	10001003	New Hire	11/17/2014	Agent		Charleston	14-2014	
Sample Employee	10001004	New Hire	11/17/2014	Agent		Charleston	15-2014	
Sample Employee	10001005	Temp Hire	11/17/2014	Vehicle Operator		Spartanburg Center		
Sample Employee	10001006	Reassignment	11/17/2014	Agent	Beaufort	Fairfield		
Sample Employee	10001007	Promotion	11/17/2014	Agent In Charge	Horry	Marion	14-042	
Sample Employee	10001008	Separation	11/21/2014	HSS I	York			
Sample Employee	10001009	Separation	11/21/2014	Agent	Aiken			

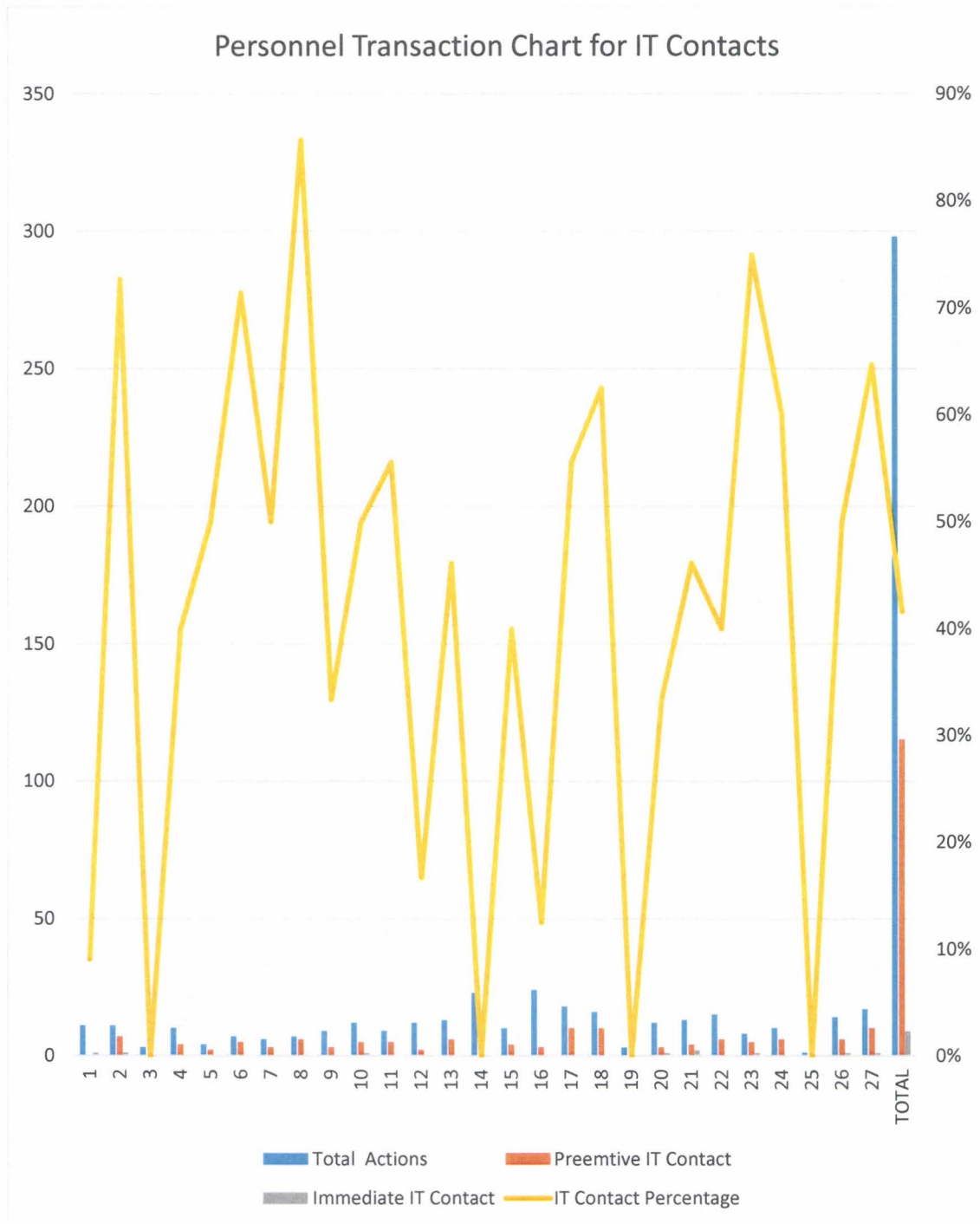
**APPENDIX C: PERSONNEL TRANSACTION STATISTICS**  
**27 Personnel Transmittal Logs was evaluated**

**\*Each Transmittal Log represents a two-week pay period time frame**

**\*\*A new pay period starts on the 2<sup>nd</sup> and 17<sup>th</sup> of each month.**

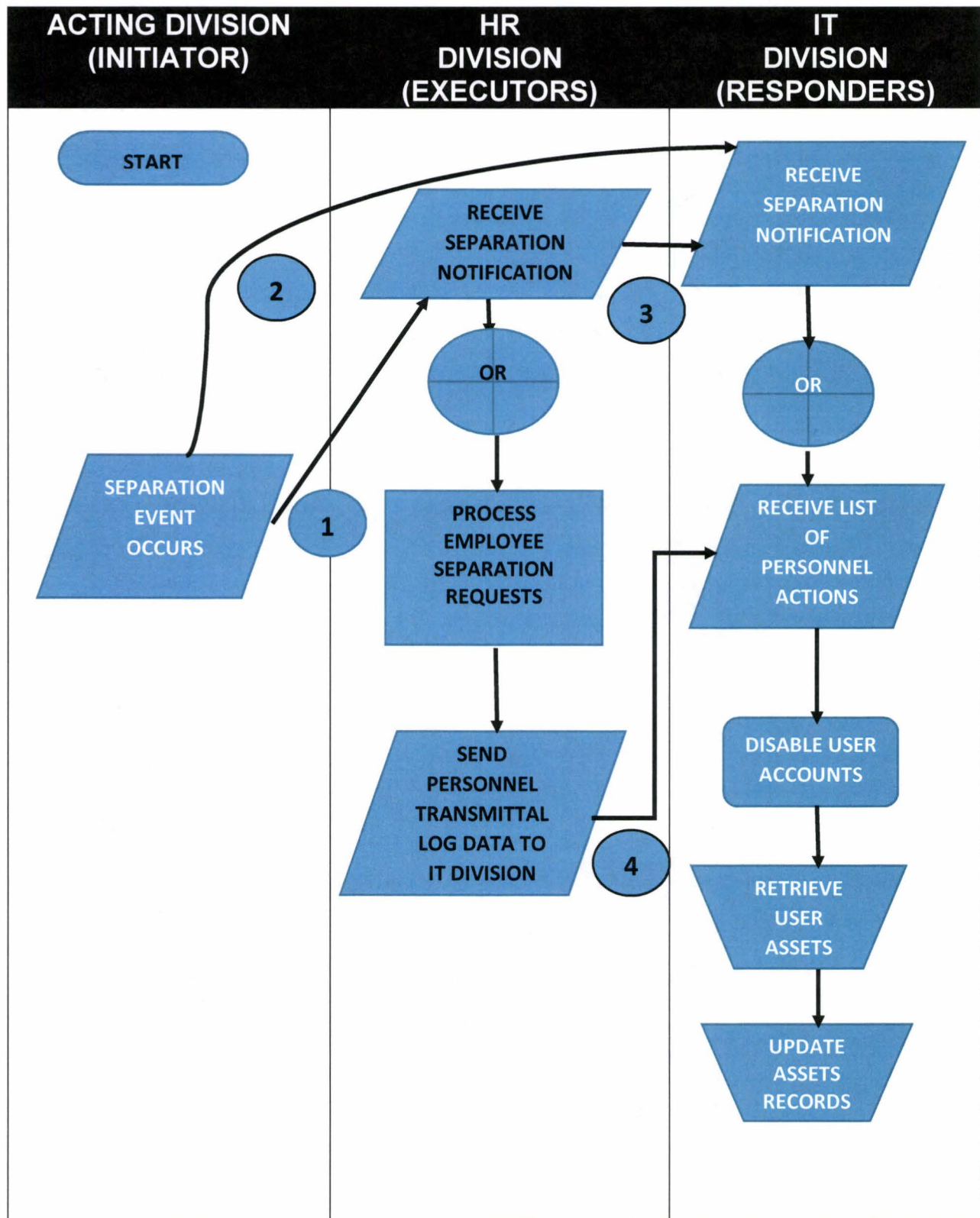
Transmittal Log ▼	Total Actions ▼	Preemitive IT Contact ▼	Immediate IT Contact ▼	IT Contact Percentage ▼
1	11	0	1	9%
2	11	7	1	73%
3	3	0	0	0%
4	10	4	0	40%
5	4	2	0	50%
6	7	5	0	71%
7	6	3	0	50%
8	7	6	0	86%
9	9	3	0	33%
10	12	5	1	50%
11	9	5	0	56%
12	12	2	0	17%
13	13	6	0	46%
14	23	0	0	0%
15	10	4	0	40%
16	24	3	0	13%
17	18	10	0	56%
18	16	10	0	63%
19	3	0	0	0%
20	12	3	1	33%
21	13	4	2	46%
22	15	6	0	40%
23	8	5	1	75%
24	10	6	0	60%
25	1	0	0	0%
26	14	6	1	50%
27	17	10	1	65%
<b>TOTAL</b>	<b>298</b>	<b>115</b>	<b>9</b>	<b>42%</b>

## APPENDIX D: PERSONNEL TRANSACTION

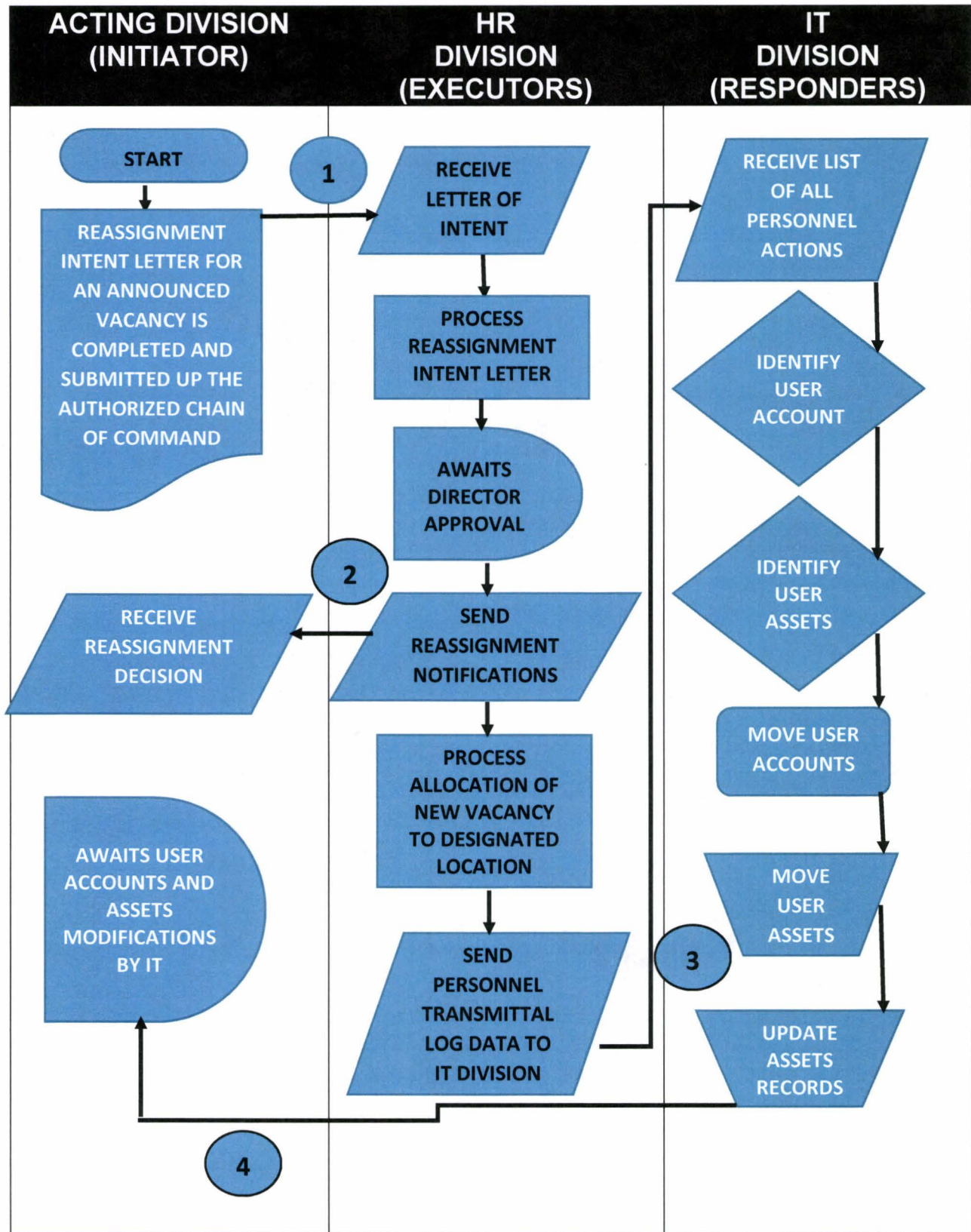




## APPENDIX E: PERSONNEL SEPARATION TRANSACTION PROCESS

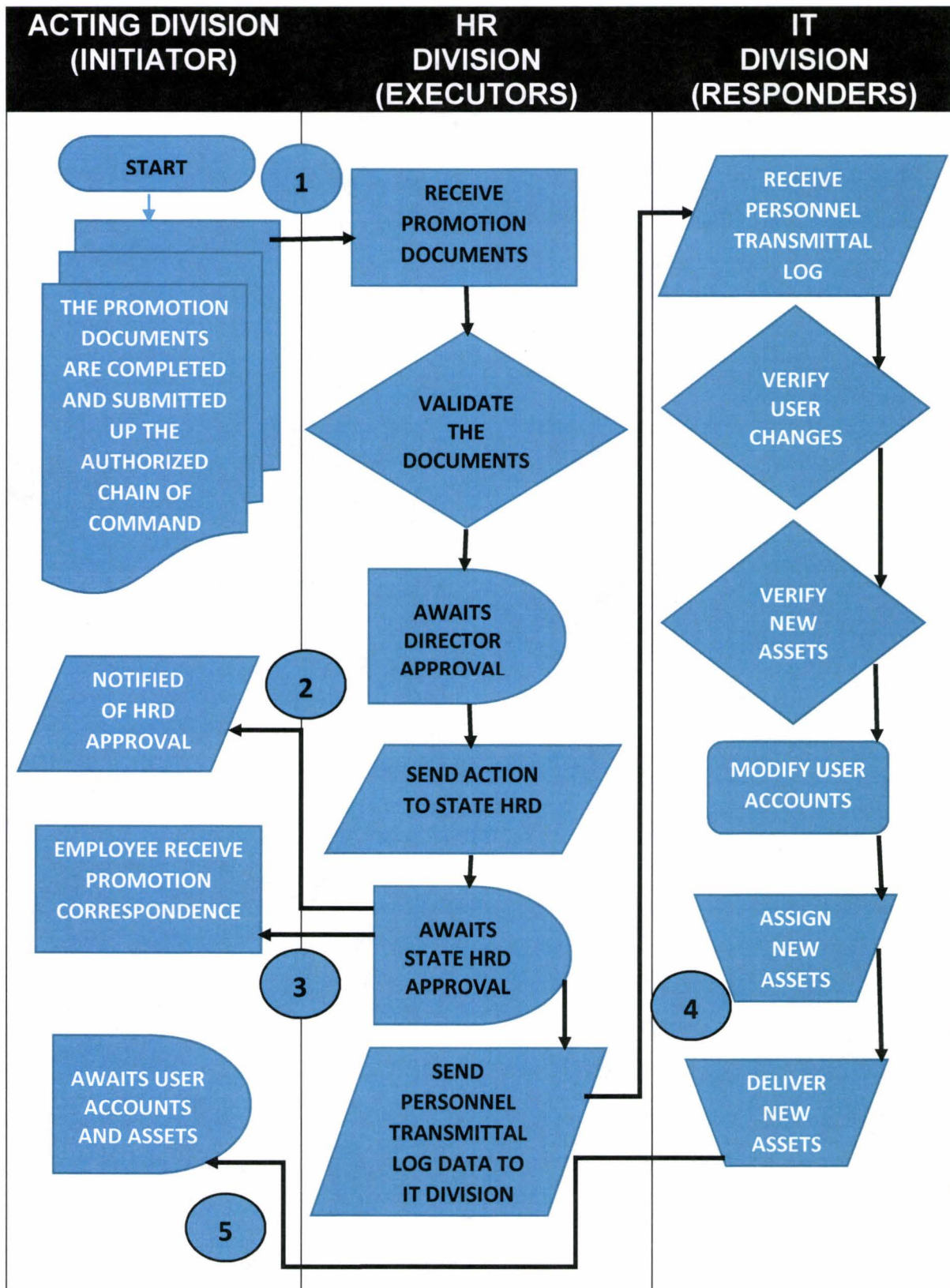


## APPENDIX F: PERSONNEL REASSIGNMENT TRANSACTION PROCESS



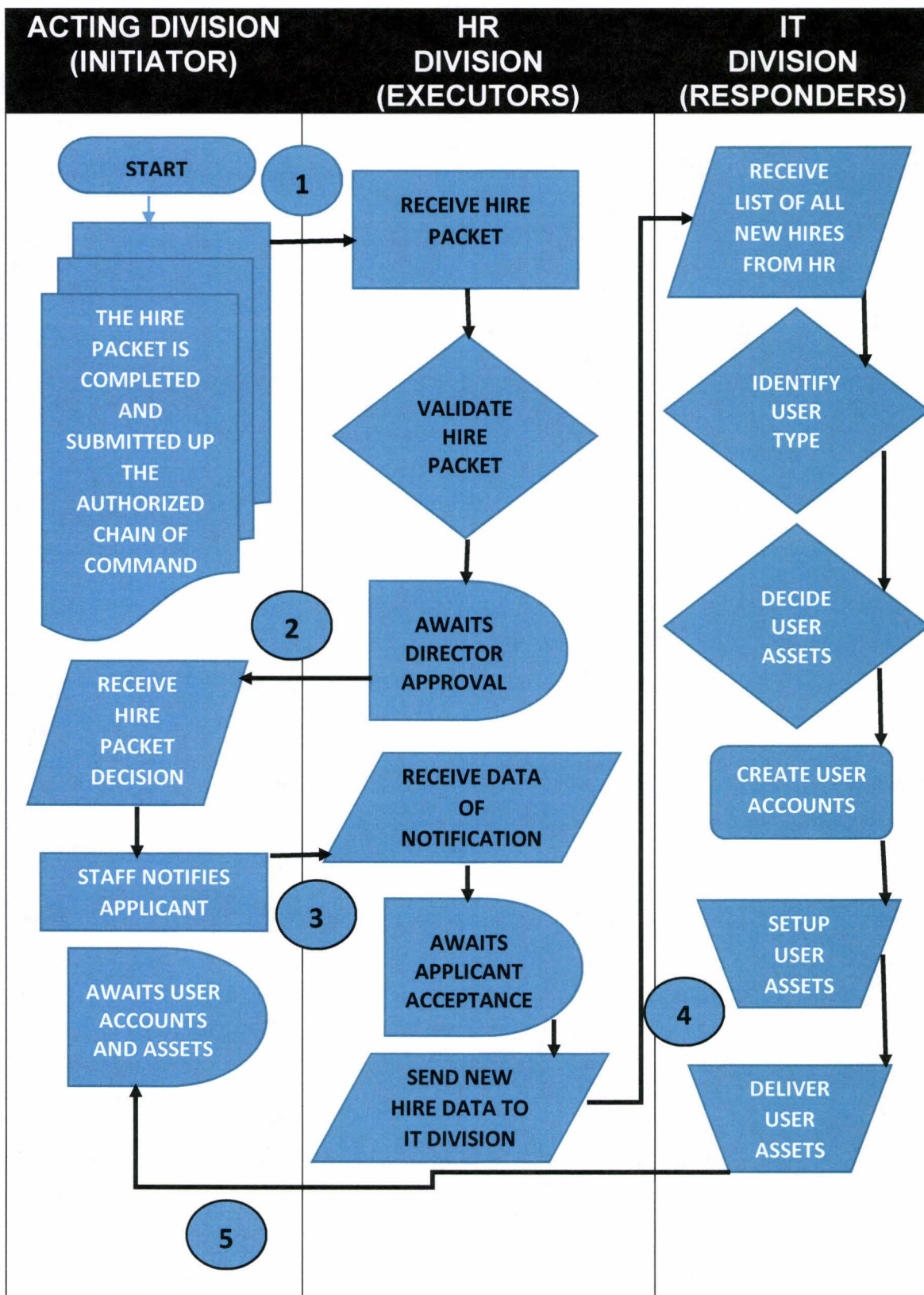


# APPENDIX G: PERSONNEL PROMOTION TRANSACTION PROCESS





## APPENDIX H: PERSONNEL HIRING TRANSACTION PROCESS



## APPENDIX I: OLD TEMPLATE FORM 1177 FOR ASSET TRACKING (2001)

South Carolina Department of Probation, Parole and Pardon Services  
Fixed Asset Tracking Sheet for Information Technology Equipment

Date: \_\_\_\_\_

**Item Description:**

☐ PC and Monitor    ☐ Printer    ☐ Server    ☐ Laptop    ☐ Other \_\_\_\_\_

Decal Number: \_\_\_\_\_ | Decal Number: \_\_\_\_\_

Serial Number: \_\_\_\_\_ | Serial Number: \_\_\_\_\_

The above item has been:

☐ Transferred To/From Central Office for Surplus | To/From County/Section \_\_\_\_\_

☐ Transferred To/From ITS | To/From County/Section/Room# \_\_\_\_\_

☐ Other (Example in for repair, on loan etc.) | Other \_\_\_\_\_

Comments:


From: \_\_\_\_\_

Date: \_\_\_\_\_

Received By: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR ACCOUNTING USE ONLY**

Region: \_\_\_\_\_ County: \_\_\_\_\_ Provider: \_\_\_\_\_

# APPENDIX J: NEW TEMPLATE FORM 1177 FOR ASSET TRACKING (2014)

South Carolina Department of Probation, Parole and Pardon Services  
Fixed Asset Tracking Sheet for Information Technology Equipment

Employee Name \_\_\_\_\_ Date \_\_\_\_\_  
(LAST) (FIRST) (MIDDLE NAME)

Personnel # \_\_\_\_\_

Item Description (check all applicable and provide appropriate identification numbers):

Current AIC	New AIC		Serial Number	Decal Number
_____	_____	<input type="checkbox"/> Laptop	_____	_____
_____	_____	<input type="checkbox"/> Docking Station	_____	_____
_____	_____	<input type="checkbox"/> Monitor	_____	_____
_____	_____	<input type="checkbox"/> Token	_____	_____
_____	_____	<input type="checkbox"/> Keyboard	_____	_____
_____	_____	<input type="checkbox"/> Mouse	_____	_____
_____	_____	<input type="checkbox"/> Laptop Bag	_____	_____
_____	_____	<input type="checkbox"/> Docking Station Power Cord	_____	_____
_____	_____	<input type="checkbox"/> Monitor Power Cord	_____	_____
_____	_____	<input type="checkbox"/> DVI-USB Cord	_____	_____
_____	_____	<input type="checkbox"/> Laptop Power Cord	_____	_____
_____	_____	<input type="checkbox"/> I-Pad	_____	_____
_____	_____	<input type="checkbox"/> Printer	_____	_____
_____	_____	<input type="checkbox"/> Switches	_____	_____
_____	_____	<input type="checkbox"/> Server	_____	_____
_____	_____	<input type="checkbox"/> Router	_____	_____
_____	_____	<input type="checkbox"/> Other	_____	_____
_____	_____	<input type="checkbox"/> Other	_____	_____

The above item(s) has been transferred FROM:

☐ Central Office (Room# \_\_\_\_\_) ☐ ITS ☐ County/Section/Room# /Office# \_\_\_\_\_  
☐ Other \_\_\_\_\_

The above item(s) has been transferred TO:

☐ Central Office ☐ ITS  
☐ Surplus ☐ County/Section/Room# /Office# \_\_\_\_\_  
☐ Other (Example: For repair, loan, etc.) \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_

Received From \_\_\_\_\_

Received By \_\_\_\_\_

County \_\_\_\_\_

**FOR ITS EMPLOYEE USE ONLY:**

Received by: \_\_\_\_\_



## APPENDIX K: EXECUTIVE LETTER TO AGENCY EXECUTIVE MANAGEMENT TEAM

South Carolina Department of Probation, Parole and Pardon Services  
Interoffice Memorandum

# INTEROFFICE MEMORANDUM

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**To:** Executive Management Team

**CC:** Divisional Managers, AIC's

**From:** Quincy Williams, Director of Strategic Development & Information Technology

**Date:** May 7, 2015

**Subject:** Asset Management Process

Effective immediately, the Form 1177 will be processed upon receiving or returning assets to IT.

All Form 1177 documents will be sent directly to IT and will be entered into the agency's Helpdesk Business System:

Please following the instructions below to complete Form 1177, when an asset event occurs.

1. Please enter the employee name assign the equipment.
2. Please enter the date the employee receives the equipment.
3. Indicate all assets being received, return, or transferred.
4. Indicate the Serial Number or Decal Number from the asset.
5. If the asset is being transferred, multiple events will occur:
  - The Current AIC should indicate all equipment the transferring employee has in their possession when transferring from to the Current AIC office location
  - The New AIC should indicate all equipment the transferring employees has in their possession upon arrival at the New AIC office location
  - If there is a discrepancy, it should be entered in the comments section and validated by IT with the authorized chain of command for a resolution.
6. The name of the location the asset is transferred FROM should be indicated.
7. The name of the location the asset is transferred TO should be indicated.
8. The personnel signatures of staff should be completed to indicate the consent of whom assets are being transferred From and to whom assets are being transferred To.
9. The name of the county receiving the assets should be indicated
10. The completed Form 1177 should be submitted to SD&IT
11. SD&IT will confirm receipt of all information and assets entered on the Form 1177.

## APPENDIX L: LETTER TO SURVEY POPULATION

Email Title: IT Asset and User Lifecycle Management and Survey

Body:

Hello [FirstName],

Please click on the link below to complete an IT Asset and User Lifecycle Management and Survey.

LINK TO SURVEY

We are trying to identify the level of understanding by Agents in Charge and Divisional Managers relating to how to acquire and manage hardware and software assets and user accounts when interacting with the Strategic Development and Information Technology Division. The survey should take about 5 minutes to complete.

Thank you for your participation, and we look forward to hearing from you.

Quincy

## APPENDIX M: SURVEY RESULTS

### Charts – Total Sample

#### IT Asset and User Lifecycle Management Survey

February 2015

	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree	Total	Mean
The process to request IT equipment or software for my office is easy to understand.	3	3	7	32	9	54	3.76
IT equipment or software requests for my office are provided in a timely manner.	2	4	7	32	9	54	3.78
The IT process to transfer employee accounts to or from my office are easy to understand.	1	6	15	26	5	53	3.53
The user accounts needed for my office are provided in a timely manner by IT.	0	6	8	25	14	53	3.89
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0	2	12	32	6	52	3.81
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand.	0	7	12	27	5	51	3.59

	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree
The process to request IT equipment or software for my office is easy to understand.	5.6%	5.6%	13.0%	59.3%	16.7%
IT equipment or software requests for my office are provided in a timely manner.	3.7%	7.4%	13.0%	59.3%	16.7%
The IT process to transfer employee accounts to or from my office are easy to understand.	1.9%	11.3%	28.3%	49.1%	9.4%
The user accounts needed for my office are provided in a timely manner by IT.	0.0%	11.3%	15.1%	47.2%	26.4%
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0.0%	3.8%	23.1%	61.5%	11.5%
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand.	0.0%	13.7%	23.5%	52.9%	9.8%



## APPENDIX N: SURVEY RESULTS

### Charts – Work Location

#### IT Asset and User Lifecycle Management Survey

February 2015

Central Office Participants Only	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree	Total	Mean
The process to request IT equipment or software for my office is easy to understand.	1	0	1	11	4	17	4.00
IT equipment or software requests for my office are provided in a timely manner.	1	0	2	10	4	17	3.94
The IT process to transfer employee accounts to or from my office are easy to understand.	0	3	5	6	3	17	3.53
The user accounts needed for my office are provided in a timely manner by IT.	0	1	4	6	6	17	4.00
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0	1	5	8	2	16	3.69
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand	0	1	6	8	1	16	3.56

Central Office Participants Only	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree
The process to request IT equipment or software for my office is easy to understand.	5.9%	0.0%	5.9%	64.7%	23.5%
IT equipment or software requests for my office are provided in a timely manner.	5.9%	0.0%	11.8%	58.8%	23.5%
The IT process to transfer employee accounts to or from my office are easy to understand.	0.0%	17.6%	29.4%	35.3%	17.6%
The user accounts needed for my office are provided in a timely manner by IT.	0.0%	5.9%	23.5%	35.3%	35.3%
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0.0%	6.3%	31.3%	50.0%	12.5%
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand	0.0%	6.3%	37.5%	50.0%	6.3%

County Office Participants Only	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree	Total	Mean
The process to request IT equipment or software for my office is easy to understand.	2	3	6	21	5	37	3.65
IT equipment or software requests for my office are provided in a timely manner.	1	4	5	22	5	37	3.70
The IT process to transfer employee accounts to or from my office are easy to understand.	1	3	10	20	2	36	3.53
The user accounts needed for my office are provided in a timely manner by IT.	0	5	4	19	8	36	3.83
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0	1	7	24	4	36	3.86
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand	0	6	6	19	4	35	3.60

County Office Participants Only	Strongly Disagree	Disagree	Slightly Agree	Agree	Strongly Agree
The process to request IT equipment or software for my office is easy to understand.	5.4%	8.1%	16.2%	56.8%	13.5%
IT equipment or software requests for my office are provided in a timely manner.	2.7%	10.8%	13.5%	59.5%	13.5%
The IT process to transfer employee accounts to or from my office are easy to understand.	2.8%	8.3%	27.8%	55.6%	5.6%
The user accounts needed for my office are provided in a timely manner by IT.	0.0%	13.9%	11.1%	52.8%	22.2%
The forms and documents to return IT equipment of former employees in my office are clear and easy to understand.	0.0%	2.8%	19.4%	66.7%	11.1%
My responsibility to have accounts of former employees disabled or transfer employees changed are easy to understand	0.0%	17.1%	17.1%	54.3%	11.4%

## APPENDIX O: SURVEY RESULTS

### Charts – Raw Data

\*\*\* The survey raw data had 7 data fields missing data.

#### IT Asset and User Lifecycle Management Survey

February 2015

Work Location	Question 1	Question 2	Question 3	Question 4	Question 5	Question 6
Central	Agree	Strongly Agree	Slightly Agree	Strongly Agree	Agree	Slightly Agree
County	Agree	Agree	Agree	Strongly Agree	Agree	Agree
Central	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree
Central	Strongly Agree	Agree	Strongly Agree	Strongly Agree		
County	Agree	Agree	Agree	Agree	Slightly Agree	Agree
Central	Strongly Disagree	Strongly Disagree	Slightly Agree	Disagree	Slightly Agree	Agree
County	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Strongly Agree	Strongly Agree	Slightly Agree	Agree	Agree	Slightly Agree
County	Strongly Disagree	Agree	Strongly Disagree	Strongly Agree	Slightly Agree	Agree
Central	Agree	Agree	Agree	Agree	Agree	Agree
Central	Agree	Agree	Disagree	Agree	Disagree	Agree
County	Agree	Agree				
Central	Agree	Agree	Agree	Agree	Agree	Agree
Central	Strongly Agree	Agree	Strongly Agree	Strongly Agree	Strongly Agree	Slightly Agree
County	Disagree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Disagree
County	Disagree	Disagree	Disagree	Disagree	Agree	Disagree
County	Agree	Strongly Agree	Agree	Agree	Agree	Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Strongly Disagree	Disagree	Disagree	Disagree	Agree	Disagree
County	Agree	Strongly Disagree	Agree	Agree	Agree	Agree
County	Agree	Agree	Slightly Agree	Agree	Agree	Agree
County	Slightly Agree	Agree	Slightly Agree	Agree	Slightly Agree	Disagree
Central	Agree	Agree	Disagree	Slightly Agree	Agree	Disagree
County	Agree	Agree	Slightly Agree	Agree	Slightly Agree	Slightly Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Slightly Agree	Agree	Agree	Agree	Agree	Agree
Central	Agree	Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree
Central	Agree	Slightly Agree	Disagree	Agree	Agree	Slightly Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
Central	Agree	Strongly Agree	Agree	Strongly Agree	Agree	Agree
County	Strongly Agree	Agree	Strongly Agree	Strongly Agree	Strongly Agree	Strongly Agree
Central	Strongly Agree	Strongly Agree	Agree	Strongly Agree	Agree	Agree
Central	Agree	Agree	Agree	Agree	Agree	Agree
County	Strongly Agree	Agree	Agree	Agree	Agree	Agree
County	Agree	Strongly Agree	Agree	Strongly Agree	Strongly Agree	Agree
County	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree
County	Slightly Agree	Slightly Agree	Agree	Disagree	Agree	Agree
County	Disagree	Disagree	Slightly Agree	Disagree	Disagree	Disagree
County	Agree	Agree	Agree	Agree	Agree	
Central	Agree	Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree
County	Strongly Agree	Agree	Agree	Strongly Agree	Agree	Strongly Agree
County	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
Central	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree	Slightly Agree
County	Agree	Agree	Slightly Agree	Agree	Agree	Agree
County	Agree	Slightly Agree	Agree	Strongly Agree	Strongly Agree	Slightly Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Agree	Disagree	Disagree	Slightly Agree	Agree	Slightly Agree
Central	Agree	Agree	Agree	Agree	Slightly Agree	Agree
County	Agree	Agree	Agree	Agree	Agree	Agree
County	Agree	Strongly Agree	Agree	Strongly Agree	Agree	Strongly Agree
County	Slightly Agree	Agree	Slightly Agree	Disagree	Agree	Disagree



## **APPENDICES**

- A. Glossary of Terms
- B. Chart: Sample Personnel Transmission Log
- C. Flowchart: Personnel Separation Transaction Process
- D. Flowchart: Personnel Reassignment Transaction Process
- E. Flowchart: Personnel Promotion Transaction Process
- F. Flowchart: Personnel Hiring Transaction Process
- G. Form: Old Template Form 1177 for Fixed Asset Tracking Sheet for IT Equipment
- H. Chart: Personnel Transaction Statistics
- I. Chart: Personnel Transaction Chart for Information Technology Contacts
- J. Form: New Template Form 1177 for Fixed Asset Tracking Sheet for IT Equipment
- K. Letter to Agency Executive Management Team: Asset Management Process
- L. Letter to Survey Population
- M. Survey: IT Asset and User Lifecycle Management Survey
- N. Survey
- O. Survey